



3692/30/03  
RH  
#8

Electronic Filing System (EFS) Data  
Electronic Patent Application Submission  
USPTO Use Only

EFS ID: 41078  
Application ID: 09866500  
Title of Invention: METHODS AND SYSTEMS FOR  
MANAGING A PORTFOLIO OF  
SECURITIES  
First Named Inventor: Shayne Young  
Domestic/Foreign Application: Domestic Application  
Filing Date: 2001-05-25  
Effective Receipt Date: 2003-05-28  
Submission Type: Information Disclosure  
Statement  
Filing Type:  
Confirmation number: 4454  
Attorney Docket Number: 5226-01500



Total Fees Authorized:

Digital Certificate Holder: cn=Eric B. Meyertons,ou=Registered Attorneys,ou=Patent and Trademark  
Office,ou=Department of Commerce,o=U.S. Government,c=US  
Certificate Message Digest: d424a21523813aef54253bf53105653a45849c3b

RECEIVED  
MAY 30 2003  
GROUP 3600

**TRANSMITTAL**

Electronic Version v1.1

Stylesheet Version v1.1.0

<b>Title of Invention</b>	<b>METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES</b>	
Application Number: 09/866500 Date: 2001-05-25 First Named Applicant: Shayne Young		
Confirmation Number: 4454 Attorney Docket Number: 5226-01500		
<p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p>		
<b>Submitted by:</b>	<b>Elec. Sign.</b>	<b>Sign. Capacity</b>
Eric B. Meyertons Registered Number: 34876	Eric B. Meyertons	Attorney
<b>Documents being submitted</b> us-ids		<b>Files</b> 5226-01500-usidst.xml us-ids.dtd us-ids.xsl
<b>Comments</b>		<b>RECEIVED</b> MAY 30 2003

**GROUP 3600**



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18  
Stylesheet Version v18.0

Title of Invention	METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES
-----------------------	---

Application Number: 09/866500  
Confirmation Number: 4454  
First Named Applicant: Shayne Young  
Attorney Docket Number: 5226-01500  
Art Unit: 2164  
Search string: ( 6477580 or 6421653 or 6446871 or 6247000  
or 6272474 or 6173270 or 6321212 or 4566066  
or 6505174 or 6195647 or 5101353 or 4942616  
or 5915209 or 5999918 or 6112189 ).pn.

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	6477580	2002-11-05	Bowman-Amuah			
	2	6421653	2002-07-16	May			
	3	6446871	2002-09-10	Buckley et al.			
	4	6247000	2001-06-12	Hawkins et al.			
	5	6272474	2001-08-07	Garcia			
	6	6173270	2001-01-09	Cristofich et al.			
	7	6321212	2001-11-20	Lange			
	8	4566066	1986-01-21	Towers			
	9	6505174	2003-01-07	Keiser et al.			
	10	6195647	2001-02-27	Martyn et al.			
	11	5101353	1992-03-31	Lupien et al.			
	12	4942616	1990-07-17	Linstroth et al.			
	13	5915209	1999-06-22	Lawrence			
	14	5999918	1999-12-07	Williams et al.			
	15	6112189	2000-08-29	Rickard et al.			

Signature

RECEIVED  
MAY 30 2003  
GROUP 3600

Examiner Name	Date